

BY ORDER OF THE COMMANDER



**AIR FORCE OPERATIONAL TEST AND
EVALUATION CENTER INSTRUCTION 65-101**

10 JANURARY 2005

Financial Management

**OVERSIGHT AGENCY VISIT
GUIDE FOR AFOTEC**

COMPLIANCE WITH THIS PUBLICATION IS MANDATORY

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The purpose of this instruction is to provide guidance and direction to all Air Force Operational Test and Evaluation Center (AFOTEC) personnel involved with visits from the General Accounting Office (GAO), Air Force Audit Agency (AFAA), or the Air Force/Department of Defense (DoD) Inspector General (IG). It applies to HQ AFOTEC, AFOTEC Detachments (Det), and AFOTEC operating locations (OL). It supplements and clarifies, for AFOTEC personnel, AFI 65-401, *Relations with the GAO*; AFI 65-402, *Relations with the DoD, Office of the Assistant Inspector Generals for Auditing and Analysis and Follow-up*; and AFI 90-201, *Inspector General Activities*. Ensure that all records created as a result of processes prescribed in this publication are maintained in accordance with Air Force Manual (AFMAN) 37-123, *Management of Records*, and disposed of in accordance with Air Force WEB-RIMS Records Disposition Schedule (RDS) located at <https://webrims.amc.af.mil/rds/index.cfm>.

SUMMARY OF REVISIONS

"This publication has been substantially revised and must be completely reviewed"

1. Responsibilities: The AFOTEC Commander has designated the Directorate of Resource Management and Support (RM) to manage all matters involving the General Accounting Office (GAO), Office of Management and Budget (OMB), Department of Defense Inspector General (DoD IG), and other Audit Agencies. Notification from the oversight agencies of their intent to visit any AFOTEC activity must be routed through RM. RMF has been designated by RM to serve as the audit focal point and must be notified when any contact is made between GAO, OMB, DoD IG, other Audit Agencies and AFOTEC personnel (e.g., telephone calls, requests for information, etc.). When relaying information to RMF, include the name of the oversight agency involved, the project code or number, title, and the name and phone number of the oversight representative(s). AFOTEC personnel must cooperate with and assist oversight representatives working on announced audit assignments. AFOTEC must provide facilities, temporary workspace, access to relevant information and records, prompt and constructive responses to findings and recommendations.

1.1. HQ AFOTEC/RMF:

- 1.1.1. RMF, in conjunction with Director of Resource Management, will notify the Commander (CC), Vice-Commander (CV), Director of Operations (XO), Comptroller, and AFOTEC Legal Counsel (LC), immediately upon notification of an impending visit and/or request for information. RMF will also notify Commander and above staff about successive visits or contacts under the same project code or number.
- 1.1.2. Create a case file listed by project code/number and dates. Maintain and update pre-existing files. Case file will be used to reference past and future visits regarding the particular subject.
- 1.1.3. Notify and keep the Commander, Vice-Commander, Director of Resource Management, Director of Operations, Comptroller, and AFOTEC Legal Counsel of oversight progress, changes in objectives, and potential findings.
- 1.1.4. Notify the appropriate Directorate/Detachment/OL Commander. Obtain a point of contact (POC) on subject matter.
- 1.1.5. Work with POC throughout contact with oversight agency/representative. Assist in the resolution of problems or questions concerning oversight visits or requests for information.
- 1.1.6. Coordinate releasing of information, such as test reports, by contacting Director of Operations, Director of Resource Management, Comptroller and AFOTEC Legal Counsel. XO, in conjunction with inputs from above personnel, will forward request to CC, who is the release authority.
- 1.1.7. RMF will send briefing reports to the Secretariat or Air Staff functional OPR when significant problems or developments surface. The report must include:
 - 1.1.7.1. The names of principal GAO personnel involved, copies of any informal written products provided, the GAO work assignment code, and names of principal Air Force personnel contacted.
 - 1.1.7.2. Brief summary of discussions held, deficiencies disclosed, conclusions drawn, corrective actions taken and/or recommended, and other significant information such as unusual GAO requests.
 - 1.1.7.3. GAO's plans to brief congressional staff, testify at congressional hearings, or to issue a report.
- 1.1.8. Established procedures for coordination before release to any oversight representative, which include but are not limited to:
 - 1.1.8.1. Oral requests for documents will be honored. However, written requests for documents may be required to clarify the nature of the information desired.
 - 1.1.8.2. When information is unavailable or cannot be provided, it is often possible to substitute other documents, briefings, visual access without copies, or similar data. This substitution should only be done with oversight representative concurrence.
 - 1.1.8.3. If documents do not exist, negotiate requests for developing special information, extracts, summaries, or analysis of data requiring considerable resources to prepare.

1.1.8.4. Information in AFOTEC hands, originated by non-AFOTEC organizations, is not considered AFOTEC-controlled information. However, the AFOTEC component having the information should contact the originator to clear release.

1.1.8.5. Information considered “internal work papers,” or which does not reflect an official AFOTEC position, will not be denied to the oversight representative. However, custodians must include cautionary explanations when providing this information. For example, clearly mark documents as “draft,” “work papers,” “unofficial,” etc.

1.1.8.6. Oversight representatives will usually work with AFOTEC data where it is kept and make notes or extracts. Reproduced copies of documents, papers, and records may be requested and released.

1.1.8.7. Operational test and evaluation reports will be released by the final reviewing authority responsible for the report. Interim summary reports may be released with the understanding that they are “advanced, or preliminary in nature, and may be subject to change.”

1.1.8.8. Access must be granted to classified information for which an oversight representative has a need-to-know to complete the assignment. Classified information will be made accessible and/or released after need-to know has been established and proper clearance has been verified.

1.1.8.9. Allow oversight representatives to review and observe test activities within the appropriate bounds of safety.

1.1.8.10. There are no provisions to deny oversight representative access to AFOTEC-controlled information. After requested records have been compiled, send to RMF for routing through the Command section. RMF will be responsible for mailing the documents.

1.2. Directorate/Detachment/OL POC will:

1.2.1. Attend inbrief/outbrief with the oversight representatives, AFOTEC Commander, Vice-Commander, RM, XO, Comptroller, RMF and Directorate/Detachment/OL Commander, as required.

1.2.2. Provide memorandum to RMF within 5 working days for HQ personnel and 7 working days for Dets/OLs, on significant questions asked and answers given that summarize the overall area of audit interest.

1.2.3. The POC will gather and obtain Directorate/Detachment/OL coordination, and forward all requested documents to RMF for distribution to external agencies.

2. Reports Processing.

2.1. All incoming reports will be processed through RMF for administrative control. If another activity receives an audit report that has not been processed by RMF, that activity will immediately provide the original to RMF.

2.2. RMF will provide copies of all incoming reports to appropriate staff sections. Appropriate sections will review draft and final report as required and as appropriate, prepare comments. Comments will be sent to RMF for compilation and routing through appropriate AFOTEC channels for inclusion in the report back to oversight agency. On some reports, staff comment/evaluation of impact or actions

required will be requested so the Command section can be advised of the impact without reading the details from the incoming report.

2.3. GAO reports concerning the Air Force and the DoD may have a significant impact on the views of the general public and the Congress. AFOTEC officials must:

2.3.1. Take prompt and positive action on all GAO reports.

2.3.2. Objectively evaluate the report and be responsive to the GAO findings, conclusions, and recommendations.

2.3.3. Officials must indicate agreement, or disagreement with GAO findings, conclusions, and recommendations.

2.3.4. State corrective actions taken or planned, including the anticipated date that proposed actions will be completed.

FELIX DUPRÈ, Major General, USAF
Commander